

1AP10 Rec'd PCT/PTO 08 DEC 2005

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371		ATTORNEY'S DOCKET NUMBER 11321-P066WOUS U.S. APPLICATION NO. (If known, use 37 CFR 1.5) TO BE ASSIGNED
INTERNATIONAL APPLICATION NO. PCT/US2004/019188	INTERNATIONAL FILING DATE JUNE 16, 2004	PRIORITY DATE CLAIMED JUNE 16, 2003
TITLE OF INVENTION FABRICATION OF CARBON NANOTUBE REINFORCED EPOXY POLYMER COMPOSITES USING FUNCTIONALIZED CARBON NANOTUBES		
APPLICANT(S) FOR DO/EO/US Khabashesku, et al.		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371.		
2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371.		
3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.		
4. <input checked="" type="checkbox"/> The US has been elected (Article 31).		
5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))		
a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).		
b. <input type="checkbox"/> has been communicated by the International Bureau.		
c. <input checked="" type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).		
6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).		
a. <input type="checkbox"/> is attached hereto.		
b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).		
7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))		
a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).		
b. <input type="checkbox"/> have been communicated by the International Bureau.		
c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.		
d. <input checked="" type="checkbox"/> have not been made and will not be made.		
8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).		
9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).		
10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).		
Items 11 to 20 below concern document(s) or information included:		
11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.		
12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.		
13. <input type="checkbox"/> A preliminary amendment.		
14. <input checked="" type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.		
15. <input type="checkbox"/> A substitute specification.		
16. <input type="checkbox"/> A power of attorney and/or change of address letter.		
17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825.		
18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).		
19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).		

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO-1390 (Rev. 07-2005)

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U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <div style="font-size: 2em; font-weight: bold; text-align: center;">10/550905</div> <div style="font-weight: bold; text-align: center;">TO BE ASSIGNED</div>	INTERNATIONAL APPLICATION NO. PCT/US2004/019188	ATTORNEY'S DOCKET NUMBER 11321-P066WOUS										
20. Other items or information: CHECK AND RETURN POSTCARD												
The following fees have been submitted		<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <th style="width:60%;">CALCULATIONS</th> <th style="width:40%;">PTO USE ONLY</th> </tr> </table>	CALCULATIONS	PTO USE ONLY								
CALCULATIONS	PTO USE ONLY											
21. <input checked="" type="checkbox"/> Basic national fee (37 CFR 1.492(a))..... \$300		<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:60%;">\$ 300.00</td> <td style="width:40%;"></td> </tr> </table>	\$ 300.00									
\$ 300.00												
22. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c))		<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:60%;"></td> <td style="width:40%;"></td> </tr> </table>										
If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0 All other situations..... \$200		<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:60%;">\$ 200.00</td> <td style="width:40%;"></td> </tr> </table>	\$ 200.00									
\$ 200.00												
23. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority..... \$100 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB..... \$400 All other situations..... \$500		<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:60%;">\$ 400.00</td> <td style="width:40%;"></td> </tr> </table>	\$ 400.00									
\$ 400.00												
TOTAL OF 21, 22 and 23 =		<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:60%;">\$900.00</td> <td style="width:40%;"></td> </tr> </table>	\$900.00									
\$900.00												
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.		<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:60%;"></td> <td style="width:40%;"></td> </tr> </table>										
<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <th style="width:20%;">Total Sheets</th> <th style="width:20%;">Extra Sheets</th> <th style="width:30%;">Number of each additional 50 or fraction thereof (round up to a whole number)</th> <th style="width:30%;">RATE</th> </tr> <tr> <td style="text-align: center;">- 100 =</td> <td style="text-align: center;">/50 =</td> <td></td> <td style="text-align: center;">x \$250</td> </tr> </table>	Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE	- 100 =	/50 =		x \$250	<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:60%;">\$</td> <td style="width:40%;"></td> </tr> </table>		\$	
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE									
- 100 =	/50 =		x \$250									
\$												
Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).		<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:60%;">\$</td> <td style="width:40%;"></td> </tr> </table>	\$									
\$												
<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <th style="width:20%;">CLAIMS</th> <th style="width:20%;">NUMBER FILED</th> <th style="width:20%;">NUMBER EXTRA</th> <th style="width:30%;">RATE</th> </tr> <tr> <td style="text-align: center;">Total claims</td> <td style="text-align: center;">90 - 20 =</td> <td style="text-align: center;">70</td> <td style="text-align: center;">x \$ 50</td> </tr> </table>	CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	Total claims	90 - 20 =	70	x \$ 50	<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:60%;">\$ 3,500.00</td> <td style="width:40%;"></td> </tr> </table>		\$ 3,500.00	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE									
Total claims	90 - 20 =	70	x \$ 50									
\$ 3,500.00												
<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <th style="width:20%;">Independent claims</th> <th style="width:20%;">4 - 3 =</th> <th style="width:20%;">1</th> <th style="width:30%;">x \$200</th> </tr> </table>	Independent claims	4 - 3 =	1	x \$200	<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:60%;">\$ 200.00</td> <td style="width:40%;"></td> </tr> </table>		\$ 200.00					
Independent claims	4 - 3 =	1	x \$200									
\$ 200.00												
MULTIPLE DEPENDENT CLAIM(S) (if applicable) + \$360												
TOTAL OF ABOVE CALCULATIONS =		<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:60%;">\$ 3,700.00</td> <td style="width:40%;"></td> </tr> </table>	\$ 3,700.00									
\$ 3,700.00												
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.		<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:60%;"></td> <td style="width:40%;"></td> </tr> </table>										
SUBTOTAL =		<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:60%;">\$ 1,850.00</td> <td style="width:40%;"></td> </tr> </table>	\$ 1,850.00									
\$ 1,850.00												
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).		<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:60%;">\$</td> <td style="width:40%;"></td> </tr> </table>	\$									
\$												
TOTAL NATIONAL FEE =		<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:60%;">\$ 1,850.00</td> <td style="width:40%;"></td> </tr> </table>	\$ 1,850.00									
\$ 1,850.00												
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property		<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:60%;">\$</td> <td style="width:40%;"></td> </tr> </table>	\$									
\$												
TOTAL FEES ENCLOSED =		<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:60%;">\$ 2,750.00</td> <td style="width:40%;"></td> </tr> </table>	\$ 2,750.00									
\$ 2,750.00												
Amount to be refunded:		<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:60%;">\$</td> <td style="width:40%;"></td> </tr> </table>	\$									
\$												
Amount to be charged		<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:60%;">\$</td> <td style="width:40%;"></td> </tr> </table>	\$									
\$												

10/559905

PTO-1390 (Rev. 07-2005)

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- a. ☒ A check in the amount of \$ 2,750.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. 23-2426 in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 23-2426. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

Robert C. Shaddox
Winstead Sechrest & Minick P.C.
P.O. Box 50784
Dallas, Texas 75201


SIGNATURE

ROBERT C. SHADDOX

NAME

34,011

REGISTRATION NUMBER

80/559905

IAP8 Rec'd PCT/PTO 08 DEC 2005

PTO-1382 (Rev. 07-2004)

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TRANSMITTAL LETTER TO THE UNITED STATES RECEIVING OFFICE

Express Mail mailing number: EL812641621US

Date of deposit: 10 JANUARY 2005

File reference no.: 11321-P066WO

International application no. (if known): PCT/US04/19188

Title of the invention: FABRICATION OF NANOTUBE REINFORCED EPOXY POLYMER COMPOSITES...

Earliest priority date claimed (Day/Month/Year): 28 JULY 2003

☐ This is a new International Application

SCREENING DISCLOSURE INFORMATION:

In order to assist in screening the accompanying international application for purposes of determining whether a license for foreign transmittal should and could be granted and for other purposes, the following information is supplied. (check as many boxes as apply):

- ☐ The invention disclosed was **not** made in the United States of America.
- ☐ There is no prior U.S. application relating to this invention.
- ☐ The following prior U.S. application(s) contain subject matter which is related to the invention disclosed in the attached international application. (NOTE: *priority to these applications may or may not be claimed on the Request (form PCT/RO/101) and this listing does not constitute a claim for priority.*)

application no.		filed on	
application no.		filed on	

- ☐ The present international application contains additional subject matter not found in the prior U.S. application(s) identified above. The additional subject matter is found on pages _____ and ☐ DOES NOT ALTER ☐ MIGHT BE CONSIDERED TO ALTER the general nature of the invention in a manner which would require the U.S. application to have been made available for inspection by the appropriate defense agencies under 35 U.S.C. 181 and 37 C.F.R. 5.15.

Itemized list of contents

Sheets of Request form:	Check no.:
Sheets of description (excluding sequence listing):	Return receipt postcard: YES
Sheets of claims:	Power of attorney: YES (6 PGS.)
Sheets of abstract:	Certified copy of priority document (specify):
Sheets of drawings:	Other (specify):
Sheets of sequence listing:	POWERS OF ATTORNEY (RICE UNIV., ZHU, KHASHESKU, PENG, BARRERA & MARGRAVE),
Sequence listing diskette/CD:	DECLARATIONS OF INVENTORS
Tables related to sequence listing CD:	

The person signing this form is:

- ☐ Applicant
- ☒ Attorney/Agent (Reg. No.)
34,011
- ☐ Common Representative

ROBERT C. SHADDOX

Name of person signing

Signature

This collection of information is required by 37 CFR 1.10 and 1.412. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IAP8 Rec'd PCT/PTO 08 DEC 2005

In re Application of: Khabashesku, et al.

Serial No: TO BE ASSIGNED

Filing Date: December 8, 2005

Title: *Fabrication Of Carbon Nanotube Reinforced Epoxy Polymer Composites
Using Functionalized Carbon Nanotubes*

Mail Stop PCT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

CERTIFICATE OF EXPRESS MAILING

Express Mailing Label Number: EL812638021US

This Transmittal Letter to the U.S. Designated/Elected Office, Application Data Sheet, copy of PCT publication WO 2005/028174 A2, executed Declaration, check and return postcard are addressed to Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, and this package is being deposited with the U.S. Postal Service with sufficient postage as "Express Mail - Post Office to Addressee" service, on December 8, 2005.

By: Jeanne E. Dunn

Printed: Jeanne E. Dunn

WINSTEAD SECHREST & MINICK, P.C.

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Dallas, Texas 75250-0784
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Fax (214) 745-5390